



AM1150

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl.No. : 10/774,092
Applicant : Brovelli, et al.
Filed : February 6, 2004

Title : Method of Augmenting the Immune-Modulatory Activity of Standardized Echinacea Preparation

Docket No. : AM1150

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

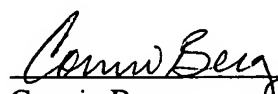
Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, applicant wishes to inform the Patent and Trademark Office of the information listed on the attached form PTO-1449.

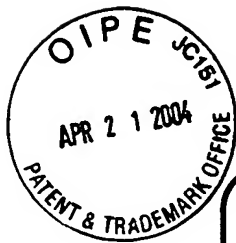
The undersigned believes that this statement is being filed before the mailing of a first Office Action on the merits, and thus no fee is due. However, should any fees under 37 C.F.R. § 1.16 to 1.21 be deemed necessary for any reason relating to these materials, the Commissioner is hereby authorized to deduct said fees from Alticor Inc. Deposit Account No. 01-1793.

Dated: *April 19, 2004*

Respectfully submitted,



Connie Berg
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(616) 787-1252 phone
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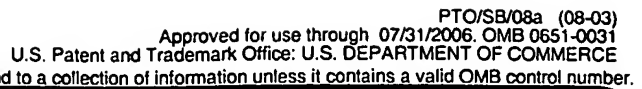
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|--|----------------------|------------------------|--------|
| TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i> | Application Number | 10/774,092 | |
| | Filing Date | February 6, 2004 | |
| | First Named Inventor | Brovelli, et al | |
| | Art Unit | | |
| | Examiner Name | | |
| Total Number of Pages in This Submission | | Attorney Docket Number | AM1150 |

| ENCLOSURES (check all that apply) | | |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance communication to Group |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment / Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Terminal Disclaimer | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
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| <input type="checkbox"/> Certified Copy of Priority Document(s) | Remarks | |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|--------------------|
| Firm or Individual name | Connie Berg |
| Signature | <i>Connie Berg</i> |
| Date | 4/19/04 |

| CERTIFICATE OF TRANSMISSION/MAILING | | | |
|---|---------------------|------|---------|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: | | | |
| Typed or printed name | Ramona Gerke | | |
| Signature | <i>Ramona Gerke</i> | Date | 4/19/04 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Substitute for form 1449A/PTO

(use as many sheets as necessary)

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| Sheet | 1 | of | 1 |
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| | |
|------------------------|------------------|
| Application Number | 10/774,092 |
| Filing Date | February 6, 2004 |
| First Named Inventor | Brovelli, et al |
| Art Unit | |
| Examiner Name | |
| Attorney Docket Number | AM1150 |

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|------------|--|
| Date | |
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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|---|---|----|---|--------------------------|------------------|
| Substitute for form 1449B/PTO | | | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Application Number | 10/774,092 |
| | | | | Filing Date | February 6, 2004 |
| | | | | First Named Inventor | Brovelli, et al |
| | | | | Art Unit | |
| | | | | Examiner Name | |
| Sheet | 1 | of | 1 | Attorney Docket Number | AM1150 |

| OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS | | | |
|--|-----------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | B1 | K. SEIDLER-LOZYKOWSKA, J. DABROWSKA, Yield and Polyphenolic Acids Content in Purple Coneflower (Echinacea purpurea Moench.) at Different Growth Stages, Journal of Herbs, Spices & Medicinal Plants, 2003, pages 7-12, Vol. 10(3) The Haworth Press, Inc. | |
| | B2 | R. BAUER, H. WAGNER, Echinacea Species as Potential Immunostimulatory Drugs, Economic and Medicinal Plant Research, 1991, Chapter 8, pages 254-321, Vol. 5, Academic Press Limited | |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.
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